



APPLICATION FORM

ACTING TRUSTEE RSE LICENCE

Trustees applying for an acting trustee RSE licence under section 29C of the *Superannuation Industry (Supervision) Act 1993* and proposing to be appointed by APRA under s. 134.

Please refer to the APRA Instruction guide – Application Form – RSE licence for guidance on the attachments to provide in this application form.

PART A – GENERAL INFORMATION

Application details

DRAFT RSE licence application

Is this a draft RSE licence application? Yes No

A1 - Licence class

This application is for the following licence class *(check box)*:

Acting Trustee Licence

A2 - Applicant

This application is being submitted for the following type of Applicant *(check box)*:

Corporation

Office use only.

/ /

Part A continues on the next page



Responsible person details

A5 – Responsible person details – Director

(Complete this section for each director)

Title Mr Mrs Ms Other

Name of Director

Date of birth / /

Former name(s)

Position of Director

Curriculum vitae Attached

Employer name

Postal address

Telephone numbers
Direct business number

Mobile number

Facsimile number

Email

Nationality Attached

Australian residency Attached

Part A continues on the next page



Responsible person details

A5 – Responsible person details – Director (continued)

Date of appointment / /

Directorships and shareholdings
(check box) Yes – complete section B7 No

Financial benefit
(check box) Yes – complete section B7 No

Fit and proper assessment Attached

Disqualified person status Attached

Part A continues on the next page



Responsible person details

A7 – Responsible person details – Proposed RSE actuary

(Complete this section if applicable)

Title Mr Mrs Ms Other

Name of proposed RSE actuary

Date of birth / /

Former name(s)

Organisation name

ABN

Postal address

Telephone numbers
Direct business number

Mobile number

Facsimile number

Email

Date of appointment / /
(where appointed)

Fit and Proper assessment Attached

Additional fitness and propriety criteria applying to RSE auditors Attached

Part A continues on the next page



General applicant details

A11 – Controlling influence – corporation

(Complete this section if applicable)

Name of corporation

ABN

Relationship to Applicant

Registered address

Street address

(if same as registered address, write "as above")

Postal address

(if same as registered address, write "as above")

Name of contact person

Telephone numbers

Direct business number

Mobile number

Facsimile number

Email

Website

Corporation's controlling influence Attached

End of Part A – General Information



PART B – LIKELY COMPLIANCE WITH PRUDENTIAL STANDARDS

B1 – Prudential Standard SPS 114 Operational Risk Financial Requirement

B1.1 ORFR

ORFR strategy

Deemed by appointment (no attachment required)

B2 – Prudential Standard SPS 220 Risk Management

B2.1 Risk management framework

Risk appetite statement Attached

Risk management strategy as Acting Trustee Attached

Risk management policies and procedures Attached

B2.2 Adequacy of resources

Undertaking from Applicant's parent on financial position of Applicant Attached

Human resources – adequate resources Attached

Technical resources – adequate resources Attached

B4 – Prudential Standard SPS 231 Outsourcing

B4.1 Outsourcing policy

Outsourcing policy

Deemed by appointment (no attachment required)

B3 – Prudential Standard SPS 232 Business Continuity Management

B3.1 Business continuity management

Statement of Business continuity Attached

B5 – Prudential Standard SPS 250 Insurance in Superannuation

B5.1 Insurance Management Framework

Statement of Insurance arrangements

Deemed by appointment (no attachment required)

Part B continues on the next page



PART B – LIKELY COMPLIANCE WITH PRUDENTIAL STANDARDS (CONTINUED)

B6 – Prudential Standard SPS 310 Audit and Related Matters

B6.1 Proposed appointed auditor

Has a proposed RSE auditor been appointed? Yes – also complete section A8 No

Terms of engagement (if available) Attached

B7 – Prudential Standard SPS 510 Governance

B7.1 Governance – Board

Board charter Attached

Board delegated authority Attached

Board skills Attached

B8 – Prudential Standard SPS 520 Fit and Proper

Fit and proper policy Attached

Responsible person competencies Attached

B9 – Prudential Standard SPS 521 Conflicts of Interest

Conflicts management policy Attached

Conflicts management
role statements Attached

Register of relevant duties Attached

Register of relevant interests Attached

B10 – Prudential Standard SPS 530 Investment Governance

Investment governance arrangements

*Directions provided by APRA on appointment
(no attachment required)*

B11 – Prudential Standards – Additional matters

Additional matters demonstrating likely
compliance with Prudential Standards Attached

End of Part B – Likely Compliance with Prudential Standards



PART C – ATTESTATIONS

Attestation A – Corporation

The Corporation attests that each of the statements (i) to (ii) in this certificate is true and correct:

(i) Information provided

The Applicant attests that the information provided as part of this application complies with the relevant prudential standards and the relevant sections of the SIS Act.

The Applicant agrees to comply with written requirements that are given to it by APRA before an RSE licence is granted.

In addition, the Applicant confirms that any changes to the information provided in this application will be provided to APRA as soon as practicable after making the modification.

(ii) Further information

The applicant acknowledges that APRA may ask for more information. The applicant agrees that it will promptly provide any information that APRA reasonably considers is necessary in order for the application to proceed. The applicant also agrees to provide any other information which APRA reasonably considers is necessary for deciding whether an acting trustee RSE licence is granted, should remain in force.

Corporations

At least two directors of the corporation must sign the attestation.

Name

Position

Signature

Date / /

Name

Position

Signature

Date / /

Part C continues on the next page



PART C – ATTESTATIONS (CONTINUED)

Notes

Penalties for false information

Applicants should note that giving false or misleading information is a serious offence (see s.136.1, s.137.1 and s.137.2 of the *Criminal Code Act 1995*). Where information is disclosed to APRA as part of this application, APRA may in turn disclose that information in any of the circumstances permitted by s.56 of the *Australian Prudential Regulation Authority Act 1998*.

Is there a prescribed fee?

There is no requirement for an application fee in relation to this class of licence.

Where to lodge the application form

Applications and the prescribed fee should be mailed to:

Australian Prudential Regulation Authority
GPO Box 9836

in all capital cities (except Hobart and Darwin)

End of Form.



 **APRA**